

Guidelines and Fill-In
Forms are available
at www.ims.gov



2003 NATIVE AMERICAN LIBRARY SERVICES

*Grant Applications
and Guidelines*

INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Application Deadlines:

For Basic Library
Services, **March 1**

For Professional
Assistance, **March 1**

For Enhancement, **May 1**

For information, call

IMLS: (202) 606-5227

NATIVE AMERICAN LIBRARY SERVICES

Grant Applications and Information

Fiscal Year 2003

What is IMLS?

The Institute of Museum and Library Services (IMLS), an independent agency within the Executive Branch, was established by Act of Congress in 1996 to improve museum, library and information services. Within IMLS, the Office of Museum Services was established to encourage and assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage; and to ease the financial burden borne by museums as a result of their increasing use by the public. The Office of Library Services was established to consolidate Federal library programs, to stimulate excellence and promote access to resources in all types of libraries for individuals of all ages, to promote library services that provide access to information through electronic networks, to provide linkages among and between libraries and to promote targeted library services to people of diverse backgrounds and abilities.

IMLS provides support to all types of libraries through grants to States and through discretionary programs. For many museums, IMLS is the only source of Federal support. The National Museum Services Board, a Presidentially-appointed body of fifteen voting members advises the Director on program policies for the Office of Museum Services. The National Commission on Libraries and Information Science, a Presidentially-appointed body of fifteen voting members advises the Director on program policies for the Office of Library Services.

For more information call or write:

Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506
(202) 606-5227

E-mail: imlsinfo@imls.gov

Web site: <http://www.imls.gov/>

TTY (for hearing-impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

Burden Estimate and Request for Public Comments

The time required to complete this information collection is estimated to average two hours per response for a Basic Grant, two hours per response for a Technical Assistance Grant, and ten hours per response for an Enhancement Grant. This estimate includes the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Dear Colleague:

It is a pleasure to present the guidelines for the FY 2003 Institute of Museum and Library Services Native American Library Services grants. In 2002 we made Basic Library Services Grants to 212 American Indian tribes and Alaska Native villages. Fifty-two of these applicants also requested and will receive consulting services through Professional Assistance Grants. In addition, we received 38 applications for competitive Enhancement Grants and made 12 awards.

IMLS grants are designed to help Native American libraries overcome many of the challenges they face and improve services to their communities. The Institute encourages libraries to use technology to bring information to people in new and interesting ways. At the same time, these grants support a range of traditional library services to ensure that users have access to all the kinds of information they need and want.

Grant funds may be used to improve services to underserved communities and to persons who have difficulty using a library. They may also be used to establish or enhance electronic linkages with other libraries and service organizations, to promote the use of electronic networks, and to encourage the sharing of resources within and among communities.

It has been my pleasure to meet and talk with many of you who are working to improve library services to Native Americans, and I look forward to continuing a rewarding relationship.

Sincerely,

Robert S. Martin, Ph.D.
Director

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PART 1

**GENERAL
INFORMATION**

How to Use These Guidelines

These guidelines are divided into four sections. Read Section 1 for general information on the purpose of the programs and about eligibility. Read Sections 2-4 for specific information on each of the three categories of support.

Potential applicants should read the entire section for the type of support they are considering before preparing the application. The Office of Library Services staff is available to answer questions by telephone at 202/606-5227 or by email at imlsinfo@imls.gov.

General Information

The Native American Library Services program marks new opportunities for improved library services for an important part of the nation's community of library users. The IMLS Native American Library Services program offers three types of support in order to serve the range of needs of Indian tribes and Alaska Native villages. The three types of support are:

BASIC LIBRARY SERVICES GRANTS

These small grant awards support core library operations on a non-competitive basis to all eligible Indian tribes who apply for support. These grants ensure a minimum level of public library service (see section 2 of these guidelines).

PROFESSIONAL ASSISTANCE GRANTS

Professional Assistance Grants (formerly Technical Assistance Grants) are intended to heighten the level of professional proficiency of library staff. These small non-competitive grants provide support for professional assessments of a full range of library services and advice for improvement (see section 3 of these guidelines).

ENHANCEMENT GRANTS

Enhancement Grants support activities to advance the applicant library's operations to new levels of service for activities specifically identified in the Library Services and Technology Act. These competitive grants are intended to encourage the implementation of both mainstream and innovative library practices (see section 4 of these guidelines).

The Institute of Museum and Library Services is pleased to invite applications for the Native American Library Services program. These guidelines reflect a recognition of a history of sound service by the precursor to this program within the U. S. Department of Education, the expressed need of former program participants and opinions of other representatives of the Indian tribes and Alaska Native villages.

BACKGROUND REPORT

In January 2000, IMLS convened a group with expertise in tribal libraries to review the Native American Library Services program and make recommendations for the future. The individuals who participated had either received grants through the program, served as consultants or liaisons to tribal libraries, or been involved in tribal library issues through the American Indian Library Association or through activities at the state level. The full text of the report can be found on the IMLS web site at www.imls.gov/grants/library/lib_nat.asp#adv.

**ELECTRONIC
NEWSLETTER**

Current information about the Native American Library Services program plus information about other IMLS programs and activities is published in *Primary Source*, the IMLS electronic newsletter. Instructions for subscribing to *Primary Source* are on the IMLS web site, www.imls.gov.

Applicant Eligibility

To be eligible to receive funds under this grant program, the applicant must comply with the definitions set out in the Library Services and Technology Act of the Museum and Library Services Act of 1996. Indian tribes and Alaska Native villages are eligible to apply.

The term “Indian tribe” means any tribe, band, nation, or other organized group or community, including any Alaska Native village, regional corporation, or village corporation, as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et seq.), which is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Except for recognized Alaska corporations, eligible entities are listed on the Bureau of Indian Affairs web site (www.doi.gov/bureau-indian-affairs.html).

If a tribe has several bands, colonies, rancherias, communities or other organizational entities listed in parentheses following a tribe name on the Department of Interior’s list of Federally recognized tribes, only one of those entities may receive a grant in a grant category (Basic grant, Professional Assistance grant, Enhancement grant) in a fiscal year. For example, if a tribe has four bands, only one of the bands may apply for a Basic grant in a fiscal year. Different bands within a tribe may apply for different grants in a fiscal year. For example, one band may apply for a Basic grant, while another band from that tribe may apply for a Professional Assistance grant and a third band may apply for an Enhancement grant. It is the responsibility of the tribal members to determine which entity will apply for each grant category. IMLS will notify the affected tribes of any change in this policy.

Entities such as schools, tribal colleges, departments of education, or libraries are not eligible applicants, although they may be involved in the administration of this program and listed as contacts on the grant application forms.

PART 2

**BASIC
LIBRARY
SERVICES
GRANT**

Basic Library Services Grants

ELIGIBILITY

Indian tribes and Alaska Native villages or corporations which are recognized by the Department of Interior are eligible to apply for Basic Library Services Grants (Basic Grants). See page 1.4 for additional information on eligibility.

PURPOSE OF PROGRAM

A Basic Grant is available only to support existing library operations. Applicants will be required to document ongoing levels of library service in the “Institutional Profile” section of the application. At a minimum, an existing library should be able to document three basic criteria: regularly scheduled hours, staff, and materials available for library users.

HOW ARE GRANTS MADE?

Basic Grants are non-competitive grants to eligible tribal libraries to be distributed in equal amounts among all eligible applicant tribes.

Conditions of a Grant

USE OF FUNDS

Funds may be used for ongoing library services for the tribal community provided by an established library, to improve existing library services or to implement new library services as part of an established library, particularly as they relate to:

- establishing or enhancing electronic linkages among or between libraries;
- electronically linking libraries with educational, social, or information services;
- assisting libraries in accessing information through electronic networks;
- encouraging libraries in different areas, and encouraging different types of libraries, to establish consortia and share resources;
- paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

The services listed above are not in priority order and all are of equal importance. Funds may be used for such costs as salaries for library personnel, planning and needs assessments, inservice training of library personnel, library materials (including books, journals, electronic resources and equipment), library supplies, telecommunication services and equipment, and fees for participation in networks and consortia that provide the library with direct services.

LIMITS ON USE OF FUNDS

An Indian tribe may submit only one application for a Basic Grant in a fiscal year.

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, pre-grant costs, or **indirect costs**. Government-wide cost principles apply.

THREE-YEAR PLAN

An applicant is required to submit with the application a three-year plan for library services, including projected interactions with other community organizations and schools. A three-year plan is required each year that a Basic Grant application is submitted.

A three-year plan identifies community needs and outlines goals/objectives and activities responding to those needs. The plan should include a description of an evaluation process to demonstrate progress toward goals/objectives. The plan must be approved by the library or other appropriate governing body. The plan submitted in 2003 would be for the years 2004 to 2006. For an example of how to develop the components of a three-year plan, go to the IMLS web site (www.imls.gov), select All About Grants and Awards, select Library Services, and select Native American Library Services.

GRANT PERIOD

All funds must be obligated within the grant period and expended within 90 days after the close of the grant period. The grant period begins October 1, 2003 and ends no later than September 30, 2004. No extensions to the grant period will be allowed. A new Basic grant application is required for each new fiscal year. The development of a three-year plan does not imply automatic funding for three years nor does it imply the availability of grant funds past the stated grant period.

AMOUNT OF GRANT

The estimated amount of grant for FY 2003 is \$4,000. Prepare a budget based on the estimated grant award (\$4,000), no more or no less. The final amount will be determined after all applications have been received and eligibility has been determined. Grants will be made in July 2003 from FY 2003 funds.

MAINTENANCE OF EFFORT

An Indian tribe receiving a Basic Grant should expend the same amount for library services, exclusive of the grant amount, during the grant period that was expended in the 12-month period immediately preceding the grant period. The Basic Grant is not intended to replace funds allocated for library services by the tribe.

NOTIFICATION OF GRANT AWARD

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in July 2003.

PAYMENT, ACCOUNTING, AND REPORTING PROCEDURES

A Federal accounting office handles the payment of Native American Library Services grants. Payments are made electronically within three weeks after recipients return the Automated Clearing House form which is included in the grant award notification.

IMLS requires grant recipients to maintain a restricted account for funds received during the grant period. They do not need to maintain a separate bank account for IMLS funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that IMLS funds have been used for grant costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

A final performance report must be submitted no later than December 29, 2004. IMLS will establish final reporting requirements. A grantee who does not submit the final report by the due date will jeopardize their eligibility to receive future IMLS Native American Library Services grants.

PREPARING THE APPLICATION

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format. Applicants can fill in the application forms electronically and print them using freely available read-only software. Parts of the application such as the three-year plan are not available as a fill-in form. Please note that you cannot save the documents and work with them later. If you use the fill-in forms, you must complete the forms and print them before logging off. Also, the forms cannot be submitted electronically and must be mailed to IMLS. The fill-in forms are located at www.imls.gov/grants/appl/index.htm. Before completing the fill-in forms, read through the detailed instructions under the link Adobe Acrobat reference center on the same page as the link to the applications. Applicants choosing not to use the fill-in forms may recreate the forms following the IMLS format or may type on printed forms.

An applicant requesting Basic Grant support should complete the application and submit it with the Assurances form signed by the authorized certifying tribal official. Submit the complete **four-page** Assurances form, not just the signed page.

The applicant must submit one application with original signature(s) of authorizing official(s) on the Assurances form. Photocopies or stamps of signatures will not be accepted on the original. Include a second copy of the entire application.

Do not place the original or copy in a binder or notebook.

Applicants submitting incomplete applications will not be considered for funding. IMLS will determine if an application is incomplete.

Sending the Application to IMLS

Send or hand-deliver applications to:

Office of Library Services, Room 802
Institute of Museum and Library Services
1100 Pennsylvania Avenue NW
Washington, DC 20506

Within 30 business days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

HAND DELIVERY

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday and Federal holidays. IMLS will provide a dated receipt at the time of delivery.

MAIL DELIVERY

Mailed applications must be postmarked no later than the application deadline:

March 1, 2003

All of the first-class and Priority mail sent to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Please consider using commercial delivery services. Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

Please be advised that support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage. If you are sending these kinds of materials, we encourage you to consider using alternate delivery services.

Every attempt is being made to accommodate late arriving mail. We appreciate your patience. If you do not receive an acknowledgment of receipt of application within forty business days from the deadline, please call IMLS to confirm receipt.

PROOF OF MAILING

IMLS may ask for proof of mailing if the postmark date on the package cannot be read. The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped. IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service. The green return receipt card does not meet the IMLS requirement for proof of mailing.

Applications that do not meet the postmark deadline will be rejected.

Application for Basic Library Services Grant

1. Name of Tribe or Alaska Village/Corporation

2. Applicant's Mailing Address

3. City

4. State

5. ZIP Code

6. Name of Tribe's Chief Executive

7. Business Phone of Chief Executive

8. Name of Project Contact ☐ Mr. ☐ Ms. ☐ Dr.

9. Business Phone of Project Contact

10. Affiliation of Contact (name of library, school, etc.)

11. Project Contact's Mailing Address

12. City

13. State

14. ZIP Code

15. FAX Number of Contact (if available)

16. E-mail Address of Project Contact (if available)

17. Institutional Profile

Schedule of open hours per week

Number of library staff

Number of circulation transactions per year

Number of holdings (books, subscriptions, media)

Does the library have access to the Internet?

Does the library provide public access to the Internet?

Amount of operating budget for library services in most recently completed fiscal year

Part-time _____ Full-time _____

18. Identify which, if any, of the following activities will be supported by the Basic Grant funds:
(please check all that apply)

establishing or enhancing electronic linkages among or between libraries;

☐ electronically linking libraries with educational, social, or information services;

☐ assisting libraries in accessing information through electronic networks;

☐ encouraging libraries in different areas, and encouraging different types of libraries, to establish consortia and share resources;

☐ paying costs for libraries to acquire or share computer systems and telecommunications technologies; and

☐ targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

The activities listed above are not in priority order and all are of equal importance.

PLEASE TURN PAGE FOR NARRATIVE QUESTIONS

PLEASE RESPOND TO ITEMS 19 THROUGH 21 ON A SEPARATE SHEET OF PAPER.

19. Description of Activities: List and describe the activities and services to be supported by this Basic Grant. Do not copy and repeat the services listed in item 18. *Example:* The library will extend weekend services, upgrade the computer for library users and increase the number of Native American books in the collection.

Extend library staff hours to open library on Saturdays

Purchase a new computer

Purchase new books for the library collection

20. Spending plan: List each specific activity/service described in question 19 and provide an itemized breakdown of costs for each activity. No indirect costs are allowed.

Example:

Staff to cover Saturday hours - \$6.00/hr. x 5 hours/week x 52 weeks =	\$1560.00
New computer	\$1800.00
New books	\$640.00
Total	\$4000.00

21. Three-Year Plan: On a separate page, attach a three-year plan for library services covering the years 2004 to 2006. The plan should identify community needs and how the library will address those needs. Include library interactions with other community organizations. State the library's goals/objectives and the activities implemented to achieve those goals. The three-year plan should include an evaluation plan which will demonstrate progress toward reaching the library's goals/objectives. Use the outline below:

- I. Statement of needs and project goals/objectives
- II. Activities you will undertake to achieve your objectives
- III. Evaluation plan (Describe how you will know that you have reached your goals/objectives, be specific.)

For an example of how to develop a three-year plan, go to the IMLS Web site (www.imls.gov), select Apply For Grants and Awards, select Library Services, and select Native American Library Services.

22. Maintenance of Effort -- Indicate how library services expenditures for the 12-month grant period will be maintained at the same level as the 12-month period preceding the grant period.

Please check the appropriate response:

_____ FY 2003 expenditures will equal or exceed previous 12-month grant period. Maintenance of effort is assured.

_____ FY 2003 expenditures will not equal or exceed previous 12-month expenditure. Maintenance of effort is not assured.

_____ The tribe does not spend its own funds to support the library. Maintenance of effort does not apply.

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the assurances statement below. Review the Statement and sign the certificate at the end. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The undersigned, on behalf of the applicant, certifies that the applicant has legal authority to apply for Federal assistance and the institution, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

FEDERAL DEBT STATUS

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

DEBARMENT AND SUSPENSION

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- A. are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- B. have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- C. are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

- D. have within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The undersigned, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving Federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in Federally-assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance;
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in Federally-assisted programs;

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- A. The undersigned, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - 1. the dangers of drug abuse in the workplace;
 - 2. the grantee's policy of maintaining a drug-free workplace;
 - 3. any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1. abide by the terms of the statement; and
 - 2. notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a

central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - 1. taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
 - 2. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency;
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- B. The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The undersigned, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

HISTORIC PROPERTIES

The undersigned, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 *et seq.*).

For further information on the certifications, contact IMLS at 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506

CERTIFICATION OF AUTHORIZING TRIBAL OFFICIAL

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application and I hereby certify on behalf of the applicant organization that:

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2003 IMLS Basic Library Services Grant application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, non-discrimination, drug-free workplace, and lobbying activities, as set forth in the Assurances Statement above.

Should my organization receive a grant, the organization and I will comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45 CFR 1110, 1183, 1185, and 1186), all statutes outlined above, and all other applicable Federal statutes and regulations.

Signature of Authorizing Official

Date

Name and Title of Authorizing Official (Type or Print)

Checklist for Basic Grant Application

Before mailing your application, please make certain that you have taken the following steps:

Please check

Completed **all** sections of the application form.

Listed the tribe, Alaska village or Alaska corporation as the name of the applicant. Schools, tribal colleges, departments of education or libraries are not eligible applicants, although they may be involved in the administration of this program.

Included a three-year plan.

Included the four-page Assurance form signed by the authorized certifying tribal official. The authorized certifying official is often the tribal chief executive or their authorized designee. The required signature must be an original, not a photocopy or stamp.

Included the original and a copy of the complete application form.

Please include a copy of the completed checklist when you mail the application.

PART 3
PROFESSIONAL
ASSISTANCE
GRANT

Professional Assistance Grants

ELIGIBILITY

Indian tribes and Alaska Native villages are eligible to apply for Professional Assistance Grants only if they are also applying for a Basic Library Services Grant in the same fiscal year.

A Professional Assistance Grant (formerly Technical Assistance Grant) is available only to support existing library operations. Applicants will be required to document ongoing levels of library service in the “Institutional Profile” section of the application.

PURPOSE OF PROGRAM

These non-competitive grants for established libraries fund a consultant to visit a library for the purpose of providing an onsite assessment of the library’s operations to improve library services. The assessment may involve one or all of the library’s services. An overall assessment of the effectiveness of library operations may include staffing, financial management, types and levels of services, and collections development and management.

The assessment will include an analysis of the current status of operations and recommendations for improvement. Depending on the needs of the library, the assessment may result in a general plan addressing all aspects of the library’s operations or very specific advice on how to provide a particular service. The final product will be a written report with recommendations.

HOW ARE GRANTS MADE?

Grants are made on a non-competitive basis to tribes having established library services.

Conditions of a Grant

USE OF FUNDS

Funds may be spent for the consultant’s lodging, travel, daily expenses, and honorarium. Other expenses may include costs for communications and for materials used in the assessment.

The estimated grant amount is \$2000.

Any funds remaining after the consultant’s assessment is completed may be used to implement the recommendations made by the consultant.

APPLICANT CONTRIBUTIONS

If the applicant has identified an appropriate consultant, a copy of the consultant's resume should be submitted with the application for IMLS staff consideration. For applicants needing assistance in identifying a consultant, IMLS staff will provide funded grantees with a list of potential consultants. Once IMLS provides a list, the grantee should work directly with the consultant.

The grantee will select and contact the consultant, arrange for and manage the site visit, and reimburse the consultant's expenses. The consultant will provide a written assessment report of library operations and submit it to the library staff within four weeks of the visit. The grantee accepts the responsibility for requiring the consultant to provide a written report to the library and to IMLS. The grantee will send a copy of the consultant's written report to IMLS along with the final report. The grantee is expected to contribute library staff time to the planning and implementation of the assessment.

GRANT PERIOD

The grant period may be up to one year, beginning no earlier than October 1, 2003, and ending no later than September 30, 2004. All funds must be obligated within the grant period and expended within 90 days after the close of the grant period. A **one-time** no-cost extension of no more than one year may be granted at the discretion of the Associate Deputy Director for Library Services. A request for an extension must be made in writing no later than 10 days before the end of the grant period.

LIMITS ON USE OF FUNDS

An Indian tribe may submit only one application for professional assistance in a fiscal year.

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, pre-grant costs, or indirect costs. Government-wide cost principles apply.

NOTIFICATION OF GRANT

No information about the status of an application will be released until all applications have been processed and all negotiations are concluded. IMLS will notify applicants of final decisions in July 2003.

PAYMENT, ACCOUNTING, AND REPORTING PROCEDURES

A Federal accounting office handles the payment of Native American Library Services grants. Payments are made electronically within three weeks after recipients return the Automated Clearing House form which is included in the grant award notification.

IMLS requires grant recipients to maintain a restricted account for funds received during the grant period. They do not need to maintain a separate bank account for IMLS funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the IMLS funds have been used for grant costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

A final performance report and a copy of the consultant's report must be submitted no later than December 29, 2004. IMLS will establish final reporting requirements. A grantee who does not submit the final report by the due date will jeopardize their eligibility to receive future IMLS Native American Library Services grants.

PREPARING THE APPLICATION

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format. Applicants can fill in the application forms electronically and print them using freely available read-only software. Please note that you cannot save the documents and work with them later. If you use the fill-in forms, you must complete the forms and print them before logging off. Also, the forms cannot be submitted electronically and must be mailed to IMLS. The fill-in forms are located at www.imls.gov/grants/appl/index.htm. Before completing the fill-in forms, read through the detailed instructions under the link Adobe Acrobat reference center on the same page as the link to the applications. Applicants choosing not to use the fill-in forms may recreate the forms following the IMLS format or may type on the printed forms.

An applicant requesting a Professional Assistance Grant should complete the application and submit it with the Assurances form signed by the authorized certifying tribal official. Submit the complete **four-page** Assurances form, not just the signed page.

The applicant must submit one application with original signature(s) of authorizing official(s) on the Assurances form. Photocopies or stamps of signatures will not be accepted on the original form. Include a second copy of the entire application.

Do not place the original or copy in a binder or notebook.

Sending the Application to IMLS

Send or hand-deliver applications to:

Office of Library Services, Room 802
Institute of Museum and Library Services
1100 Pennsylvania Avenue NW
Washington, DC 20506

Within 30 business days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

HAND DELIVERY

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday and Federal holidays. IMLS will provide a dated receipt at the time of delivery.

MAIL DELIVERY

Mailed applications must be postmarked no later than the application deadline:

March 1, 2003

All of the first-class and Priority mail sent to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Please consider using commercial delivery services. Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

Please be advised that support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage. If you are sending these kinds of materials, we encourage you to consider using alternate delivery services.

Every attempt is being made to accommodate late arriving mail. We appreciate your patience. If you do not receive an acknowledgment of receipt of application within 40 business days from the deadline, please call IMLS to confirm receipt.

PROOF OF MAILING

IMLS may ask for proof of mailing if the postmark date on the package cannot be read. The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped. IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service. The green return receipt card does not meet the IMLS requirement for proof of mailing.

Applications that do not meet the postmark deadline will be rejected.

Application for Professional Assistance Grant

1. Name of Tribe or Alaska Village/Corporation

2. Applicant's Mailing Address

3. City

4. State

5. ZIP Code

6. Name of Tribe's Chief Executive

7. Business Phone of Chief Executive

8. Name of Project Contact ☐ Mr. ☐ Ms. ☐ Dr.

9. Business Phone of Project Contact

10. Affiliation of Contact (name of library, school, etc.)

11. Project Contact's Mailing Address

12. City

13. State

14. ZIP Code

15. FAX Number of Contact (if available)

16. E-mail Address of Project Contact (if available)

17. Institutional Profile

Schedule of open hours per week

Number of library staff

Number of circulation transactions per year

Number of holdings (books, subscriptions, media)

Does the library have access to the Internet?

Does the library provide public access to the Internet?

Amount of operating budget for library services in most recently completed fiscal year

Part-time _____ Full-time _____

PLEASE TURN PAGE FOR NARRATIVE QUESTIONS

PLEASE ANSWER THE FOLLOWING QUESTIONS IN THE SPACE PROVIDED OR ON A SEPARATE SHEET OF PAPER (ONE SHEET OR LESS):

18. Will the assessment be an overall assessment of library operations or an assessment of a specific activity/service? Describe the type of assessment you are requesting. How is the assessment appropriate to the library's needs?

19. Please submit the name and attach a copy of the resume of a consultant, or indicate if you would like information on identifying a consultant.

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the assurances statement below. Review the Statement and sign the certificate at the end. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The undersigned, on behalf of the applicant, certifies that the applicant has legal authority to apply for Federal assistance and the institution, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

FEDERAL DEBT STATUS

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

DEBARMENT AND SUSPENSION

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- A. are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- B. have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- C. are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

- D. have within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The undersigned, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving Federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in Federally-assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance;
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in Federally-assisted programs;

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- A. The undersigned, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - 1. the dangers of drug abuse in the workplace;
 - 2. the grantee's policy of maintaining a drug-free workplace;
 - 3. any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1. abide by the terms of the statement; and
 - 2. notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a

central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - 1. taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
 - 2. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency;
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- B. The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
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**GENERAL
CERTIFICATION**

The undersigned, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program.

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The undersigned, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 *et seq.*).

For further information on the certifications, contact IMLS at 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506

CERTIFICATION OF AUTHORIZING TRIBAL OFFICIAL

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application and I hereby certify on behalf of the applicant organization that:

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2003 IMLS Professional Assistance Grant application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, non-discrimination, drug-free workplace, and lobbying activities, as set forth in the Assurances Statement above.

Should my organization receive a grant, the organization and I will comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45 CFR 1110, 1183, 1185, and 1186), all statutes outlined above, and all other applicable Federal statutes and regulations.

Signature of Authorizing Official

Date

Name and Title of Authorizing Official (Type or Print)

Checklist for Professional Assistance Grant Application

Before mailing your application, please make certain that you have taken the following steps:

Please check

Completed **all** sections of the application form.

Listed the tribe, Alaska village or Alaska corporation as the name of the applicant. Schools, tribal colleges, departments of education or libraries are not eligible applicants, although they may be involved in the administration of this program.

Included a copy of a consultant's resume if one has been identified.

Included the four-page Assurance form signed by the authorized certifying tribal official. The authorized certifying official is often the tribal chief executive or their authorized designee. The required signature must be an original, not a photocopy or stamp.

Included the original and a copy of the complete application form.

Please include a copy of the completed checklist when you mail the application.

PART 4
ENHANCEMENT
GRANT

Enhancement Grants

ELIGIBILITY

Indian tribes and Alaska Native villages are eligible to apply for an Enhancement Grant only if they have applied for a Basic Library Services Grant in the same fiscal year. For example, an applicant submitting an application in 2003 for an Enhancement Grant must also be eligible to receive and must have submitted an application for a Basic Grant in 2003.

IMLS staff determine whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible, the application will be rejected without evaluation. Incomplete applications are subject to rejection without evaluation. Applicants will be notified by mail if their application is rejected.

PURPOSE OF PROGRAM

Enhancement grants are made to support: 1) projects that address the goals of the Library Services and Technology Act (LSTA); 2) the performance of library activities relating to the collection and organization of materials; and 3) improvements in accessibility of materials and services.

Projects may enhance existing library services or implement new library services, particularly as they relate to the goals of the LSTA listed below:

- establishing or enhancing electronic linkages among or between libraries;
- electronically linking libraries with educational, social, or information services;
- assisting libraries in accessing information through electronic networks;
- encouraging libraries in different areas, and encouraging different types of libraries, to establish consortia and share resources;
- paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

The services listed above are not in priority order and all are of equal importance.

HOW ARE GRANTS MADE?

All eligible and complete applications will be competitively reviewed. All eligible applications for Enhancement Grants will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities identified in the proposed projects. Reviewers will be drawn from professionals in the field and from areas of expertise as determined by the Director. The Director will make funding decisions based on the evaluations by reviewers and the overall goals of the Native American Library Services program.

Reviewers will be instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Applicants should address all criteria in the application narrative.

Application Elements and Evaluation Criteria

You must address all of the evaluation criteria and in the same order in which they are listed below. Each criterion should be used as a heading and followed by a comprehensive description. Since reviewers base their evaluations only on the information presented in your application, it is important that you prepare a clear, concise, well organized document. The first seven criteria listed should be addressed in the application narrative. The eighth criterion, the budget, should be addressed in a separate section.

APPLICATION NARRATIVE

STATEMENT OF NEED

Include a statement of need as it relates to the library and the community. Include information such as:

- a description of the community,
- current status of the library,
- how the proposal will improve library services, and
- impact on the community from improved library services.

PROJECT DESIGN

Include a description of the proposed project plan. Include information such as:

- clear goals and objectives,
- approach for accomplishing project objectives,
- action steps and activities to implement the project,
- appropriate application of technology including strategies to service, maintain and upgrade proposed hardware and software,
- how this project is of sufficient scope to create positive change in the library system, and
- plan to maintain and continue the positive changes after the period of Federal funding.

MANAGEMENT PLAN

Describe the management plan demonstrating the strategy for completing a successful project. Include information such as:

- how oversight will be provided for the various action steps and activities,
- evidence that applicant is capable of implementing the project plan,
- evidence that applicant is capable of successfully completing the project by deploying the appropriate personnel, facilities, equipment and supplies, and
- experience with sound financial planning and management.

PERSONNEL

Identify the management staff and library staff who will implement this project.

Include information such as:

- qualifications to accomplish the project goals and objectives,
- experience and expertise in the specific areas to which they will be assigned for this project, and
- adequate time commitment for the successful completion of the project.

Note: You must attach resumes for all people who will serve on this project. Maximum length of resumes: two pages per person. For new positions to be paid from grant funds, include a position description. You do not need to identify persons to be hired for new positions.

EVALUATION

Describe the approach and methodology to be used for monitoring and assessing the activities of the project. Include information such as:

- baseline data to judge how much was achieved,
- evidence of ongoing and comprehensive evaluation to assess progress,
- measurement of outcomes for each objective, impact of changes, success and possible improvement areas for the future,
- measurement of community satisfaction with new or improved services, and
- plan for documenting final results - both expected and unexpected.

MODEL PROJECT

Describe how this project will serve as a model for other Native American or community libraries and how information about this project will be shared within the library community. Include information such as:

- improvement of service to the community and library users,
- documentation of project results, and
- broad dissemination of project results (including technical knowledge gained during project) locally and to the Native American library community using a variety of appropriate media.

CONTRIBUTIONS

Describe the commitment to the project by contributions to the project costs in the form of cost sharing. All contributions should be included in the budget narrative, the detailed budget forms, and the summary budget form. See information on cost sharing on page 4.7. Include information on:

- cash match and
- in-kind contributions.

BUDGET SECTION**THREE-PART BUDGET**

Demonstrate that the budget is appropriate, cost efficient, and reflects the goals and activities of the proposal. The proposal must include a three-part budget: 1) budget narrative; 2) detailed budget table; and 3) summary budget table. The budget should include costs to be supported by IMLS funds, applicant and third-party matching and cost sharing, and any costs to be supported by other Federal agencies. Only those costs necessary to achieving specific project objectives should be included in the budget. Cost sharing is not required but it is considered a demonstration of commitment to the project on the part of the applicant. Other Federal funds may not be counted as cost sharing or matching funds.

Applicants who receive Enhancement Grant awards must attend an annual grantee meeting. As part of your travel budget, include \$2500 per year for attendance at the Enhancement grantees meeting. The \$2500 per year should come from IMLS funds.

The budget narrative justifies all budget costs. It should explain all line items on the detailed budget forms and should include the amount requested for each line item listed on the detailed budget forms. List the amount requested from IMLS and the amount of any cost sharing for each category. The budget narrative should clearly and specifically identify the sources of cost sharing contributions. The budget narrative should include a justification for all proposed costs including personnel costs, equipment, materials, supplies, services and other expenses. The applicant should provide specifications for hardware and software requested in the budget. The applicant should provide some documentation, such as vendor pricing information, to support costs of equipment and hardware. Explain how the items in the budget are reasonable, necessary to accomplish project objectives and cost effective.

A detailed budget should be prepared for year one and year two (if applicable). It should include specific cost categories and identify whether support is requested from IMLS or is part of cost sharing. On the detailed budget sheet, the “No.” refers to the number of staff. The “method of computation” refers to how the cost is determined. For example, if a staff member will devote part of his/her time to the project, the total amount charged to the project could be determined either by number of hours multiplied by the hourly wage or by percentage of staff time multiplied by the yearly salary. Consultant fees should identify costs by hourly rates or daily fees.

The summary budget should clearly identify the amounts requested from IMLS and the amounts contributed by the applicant. Only one summary budget form is required whether the grant period requested is one year or two years. If the applicant is requesting a two-year grant period, do not submit two separate summary budget tables for year one and for year two.

INDIRECT COSTS

If indirect costs are requested from IMLS and/or used in cost sharing, a copy of the approved Federally negotiated indirect cost agreement must be attached to the application. The approved Federally negotiated cost agreement must be current as of the beginning of the grant period, which is October 1, 2003. Expired rate agreements will not be considered. If the applicant does not have a Federally negotiated indirect rate, IMLS will pay indirect costs up to 20%.

The rate that is in effect as of the beginning of the grant period shall remain in effect for the duration of the grant period, whether it is a one or two-year grant. No changes in the indirect rate will be allowed once the grant is awarded. Care should be taken that expenses included in the organization's indirect costs are not charged to the project as direct costs. All applicants are encouraged to allocate indirect costs as cost sharing.

IMLS will pay for indirect costs only on direct costs requested from IMLS. IMLS will not pay indirect costs on any in-kind contributions or cash match. In calculating your indirect costs take into consideration any restrictions given in your indirect rate agreement. For example, some indirect rate agreements prohibit charging indirect costs on equipment costs over a specified amount or on contracts.

Read the section, Conditions of a Grant, carefully since it contains additional information relevant to preparing your budget.

Conditions of a Grant

USE OF FUNDS

IMLS Enhancement grant funds may be used only for costs directly related to the Enhancement project such as costs for salaries for library personnel, library materials (including books, journals, electronic resources and equipment), library project supplies, telecommunication services and equipment, and fees for participation in networks and consortia that provide the library with direct services. General office supplies are considered part of indirect costs and should not be requested as direct costs. No more than 20% of the granted funds may be used for indirect costs, unless the applicant has a current, Federally negotiated indirect cost rate.

LIMITS ON USE OF FUNDS

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, or pre-grant costs. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide cost principles apply.

GRANT PERIOD

Applicants may request either a one or two-year grant. Once funds are awarded, funds must be expended within the specified grant period. The grant period begins no earlier than October 1, 2003 and begins no later than December 31, 2003. A one-time no-cost extension to the grant period may be requested from the Associate Deputy Director for Library Services. A request for an extension must be made in writing no later than 10 days before the end of the grant period.

GRANT AMOUNT

An applicant may request up to a total of \$150,000 regardless of whether the grant period is one or two years. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested. Grants will be made in September 2003 from fiscal year 2003 funds.

COST SHARING

All cost sharing expenses must be incurred during the grant period, not before or after. In-kind contributions may be used for cost sharing if they specifically relate to the Enhancement grant project. For third party contributions, applicants must indicate whether the contributions are assured or pending. Your cost sharing may consist of:

- cash contributions – funds allocated directly to the project (i.e. cash match)
- earned income
- equipment
- staff time
- materials and supplies
- services

You may not use Federal funds as part of your cost sharing. This limitation also applies to salaries, equipment, services, etc. funded by Federal dollars. Costs such as rent (if space is owned by the tribe), utilities, and insurance are considered to be part of indirect costs and will not be accepted as direct costs requested from IMLS or as part of direct cost in-kind contributions.

Indirect costs may be used as cost sharing. Indirect costs, often referred to as overhead costs, are not attributable to a specific project or activity of an organization.

LIMITS ON FUNDING

An Indian tribe may submit only one application for an Enhancement Grant in a fiscal year. A grantee receiving a two-year Enhancement Grant from IMLS may not apply for another Enhancement Grant covering the same time period as the second year of the first grant. For example, if a tribe received a two-year Enhancement grant in FY 2002, they may not apply for another Enhancement grant until FY 2004.

COPYRIGHT/WORK PRODUCTS

IMLS requires acknowledgement of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for Federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports.

NOTIFICATION OF GRANT

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in September 2003.

PAYMENT, ACCOUNTING, AND REPORTING PROCEDURES

A Federal accounting office handles the payment of Native American Library Services grants. Grant recipients may request cash advances or reimbursements as needed during the grant period. Final reimbursement requests must be made within 90 days of the end of the grant period. Payments are made electronically.

IMLS requires grant recipients to maintain a restricted account for funds received during the grant period. They do not need to maintain a separate bank account for IMLS funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the IMLS funds have been used for grant costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients will be required to submit six-month performance reports as well as annual financial status reports; they are required to submit a final performance report and a final financial report. Interim reports must be submitted within 30 days of the end of each reporting period. Final performance and financial reports must be submitted within 90 days of the close of the grant period. IMLS will provide reporting instructions.

Guidance for Digitization Projects

INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, *Specifications for Projects Involving Digitization* (see p. 4.23), which must be completed and submitted with the application.

DIGITIZATION PLANS

Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application. Sample digitization plans are provided on the following web sites:

- <http://coloradodigital.coalliance.org/project.html> – The Colorado Digitization Project.
- <http://www.nedcc.org/dighand.htm> – The Northeast Document Conservation Center's *Handbook for Digital Projects: A Management Tool for Preservation and Access*.

RESOURCES FOR DIGITIZATION PROJECTS

IMLS has published *A Framework of Guidance for Building Good Digital Collections* as a resource for applicants planning digitization projects. Available at <http://www.imls.gov/pubs/forumframework.htm>, this document contains links to many web sites with useful information for planning and implementing digitization projects. Some additional sites are:

- http://www.imls.gov/grants/library/lib_nlg1.asp (scroll to bottom of page) – The IMLS Web site provides examples of funded digitization projects.
- <http://memory.loc.gov/ammem/ftpfiles.html> – The Library of Congress' American Memory Project has useful technical information for digitization projects.
- <http://coloradodigital.coalliance.org/toolbox.html> – The Colorado Digitization Project's Web site has a page devoted to Digital Project Resources that includes information about copyright, metadata, digitization standards and administrative concerns.
- <http://www.clir.org/diglib/publications.htm> – The Digital Library Federation has publications on a range of topics, including digital image management and preservation.
- <http://www.rlg.org/preserv/diginews/> – The Research Libraries Group's *DigiNews*, a bimonthly web-based newsletter.
- <http://www.umuc.edu/distance/odell/cip> – Center for Intellectual Property and Copyright in the Digital Environment by the Office of Distance Education and Lifelong Learning at University of Maryland University College
- <http://www.iupui.edu/~copyinfo> – Copyright Management Center (CMC) Indiana University-Purdue University Indianapolis
- <http://www.dlib.org> – D-Lib Magazine has many articles on preservation of digital materials.

PRESERVATION

Digitization is not considered a primary method of preservation for original materials except for some audio/visual originals. However, digitization may reduce handling of original materials. For information on preservation methods see the following web sites:

- <http://nedcc.org> – Northeast Document Conservation Center
- <http://www.loc.gov/preserv> – Library of Congress preservation information.

Preparing the Application Package

An application requesting an Enhancement Grant through the Native American Library Services program of the IMLS must include the following materials organized in the order listed:

1. Face Sheet
2. Abstract
3. Narrative (includes all evaluation criteria except “Budget”)
4. Schedule of Completion
5. Budget
 - a. Budget narrative
 - b. Detailed budget forms
 - c. Summary budget form
 - d. Current Federally negotiated rate agreement for indirect costs, if applicable
6. Specifications for Projects Involving Digitization, if applicable
7. Signed Assurances Form (four pages)
8. Attachments
 - For example:
 - a. Resumes of all staff involved in project (no more than two pages each)
 - b. Position descriptions for new positions for which IMLS funding is requested
 - c. Needs assessment
 - d. Three-year plan

The applicant must submit one original [with original signature(s) of authorizing official(s)] and six copies of the entire application, plus two additional copies of the face sheet. Do not place the original or copies in binders or notebooks.

Applicants are requested to send an electronic copy of the information on the face sheet and the abstract on a 3.5 inch disk, formatted as a text file (.txt) or rich text file (.rtf). You do not need to replicate the format of the face sheet.

Use a typeface that contains no more than six lines per vertical inch. Use a typeface with standard spacing between letters; do not use a condensed typeface. Leave a margin of at least 1/2 inch on all sides. Number all pages. It is essential that reviewers can easily read the information you provide.

No submitted application materials will be returned.

ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format. Applicants can fill in the application forms electronically and print them using freely available read-only software. Please note that you cannot save the documents and work with them later. If you use the fill-in forms, you must complete the forms and print them before logging off. Also, the forms cannot be submitted electronically and must be mailed to IMLS. The fill-in forms are located at www.imls.gov/grants/appl/index.htm. Before completing the fill-in forms, read through the detailed instructions under the link Adobe Acrobat reference center on the same page as the link to the applications. Applicants choosing not to use the fill-in forms may recreate the forms following the IMLS format or may type on the printed forms.

FACE SHEET

The face sheet is provided. Use or replicate this form. This page is available as a fill-in form on the IMLS Web site.

ABSTRACT

An abstract of no more than one page, single spaced (600 word maximum) should describe the primary goals of the proposed activities and present an overview of the design of the project to achieve those goals. Describe anticipated results/outcomes.

NARRATIVE

A narrative of no more than 10 single-spaced, one-sided pages should address the evaluation criteria listed on pages 4.4–4.6. Do not exceed the 10 page limit. Use 8 1/2 x 11 inch paper. Your narrative should include sections on: statement of need, project design, management plan, personnel, evaluation, model project, and contributions. The narrative should provide a comprehensive description for each of the criterion and they should appear in the order listed. Make it clear to reviewers why you are proposing the project, what the project entails, how the activities will be accomplished, who will be involved, when the activities will take place, and how the project will be managed, evaluated and sustained.

If your project involves materials currently under copyright, you should indicate what has been done to secure the necessary permission to copy or to publish the materials.

**SCHEDULE OF
COMPLETION**

A schedule of completion should show when each major activity will occur and its duration. Benchmarks for progress of the project should be identified. The schedule of completion should correspond to the activities described in the narrative. A sample schedule of completion is provided with the application package on page 4.25.

BUDGET

Include all three required sections: 1) budget narrative; 2) detailed budget; and 3) summary budget. See pages 4.5–4.8 for instructions. Include a copy of your current Federally negotiated rate agreement for indirect costs, if applicable. The summary budget form and the detailed budget forms are available as fill-in forms on the IMLS Web site.

**SPECIFICATIONS
FOR
PROJECTS
INVOLVING
DIGITIZATION**

Complete and submit the form on pages 4.23 and 4.24, if you are submitting a proposal that involves digitization. This form is required if the proposal includes a digitization component.

**SIGNED
ASSURANCES
FORM**

To be considered for a grant, the certified authorizing tribal official must read and sign the Assurances form. Photocopies or stamps of signatures will not be accepted on the original form. Indicate the title of the official.

The authorizing official may be the organization's chief executive officer or an executive member of the organization's governing body.

The application is not complete unless the authorizing official has signed it. Send the complete four-page Assurances form.

ATTACHMENTS

Resumes or vitae of no more than two pages each for all key personnel (both staff and consultants) must be included. For new positions for which IMLS funding is requested, include position descriptions. Also, applicants should include documents that specifically relate to the justification for the project. Information may include needs assessments, long range or strategic library plans, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal.

Sending the Application to IMLS

Send or hand-deliver applications to:

Office of Library Services, Room 802
Institute of Museum and Library Services
1100 Pennsylvania Avenue NW
Washington, DC 20506

Within 15 business days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

**HAND
DELIVERY**

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday and Federal holidays. IMLS will provide a dated receipt at the time of delivery.

**MAIL
DELIVERY**

Mailed applications must be postmarked no later than the application deadline:

May 1, 2003

All of the first-class and Priority mail sent to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Please consider using commercial delivery services. Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

When selecting your application delivery options, please keep in mind the short turnaround time for Enhancement grant proposals. The application postmark deadline is May 1, and the applications are sent to field reviewers within three weeks after the postmark deadline.

Please be advised that support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage. If you are sending these kinds of materials, we encourage you to consider using alternate delivery services.

Every attempt is being made to accommodate late arriving mail. We appreciate your patience. If you do not receive an acknowledgment of receipt of application within one month of the deadline, please call IMLS to confirm receipt.

**PROOF OF
MAILING**

IMLS may ask for proof of mailing if the postmark date on the package cannot be read. The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped. IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service. The green return receipt card does not meet the IMLS requirement for proof of mailing.

Applications that do not meet the postmark deadline will be rejected.

Face Sheet for an Enhancement Grant

1. Name of Tribe or Alaska Village/Corporation

2. Applicant's Mailing Address

3. City

4. State

5. ZIP Code

6. Name of Tribe's Chief Executive

7. Business Phone of Chief Executive

8. Name of Project Contact ☐ Mr. ☐ Ms. ☐ Dr.

9. Business Phone of Project Contact

10. Affiliation of Contact (name of library, school, etc.)

11. Project Contact's Mailing Address

12. City

13. State

14. ZIP Code

15. FAX Number of Contact (if available)

16. E-mail Address of Project Contact (if available)

17. Institutional Profile

Schedule of open hours per week

Number of library staff

Number of circulation transactions per year

Number of holdings (books, subscriptions, media)

Does the library have access to the Internet?

Does the library provide public access to the Internet?

Amount of operating budget for library services in most recently completed fiscal year

Part-time _____ Full-time _____

18. Grant Amount Requested

\$ _____

19. Amount of Cost Sharing

\$ _____

20. Total Project Costs

\$ _____

21. Grant Period (check one)

☐ one-year grant ☐ two-year grant

Project Budget Form Front

YEAR 1

SECTION 1: DETAILED BUDGET

Name of Applicant _____

IMPORTANT! READ INSTRUCTIONS ON PAGE 4.5–4.8 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$		

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$		

FRINGE BENEFITS

RATE	SALARY BASE	IMLS	MATCH	TOTAL
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
TOTAL FRINGE BENEFITS		\$		

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR Hrs) ON PROJECT	IMLS	MATCH	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTATION FEES			\$		

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE Costs	TRANSPORTATION Costs	IMLS	MATCH	TOTAL
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS				\$		

Project Budget Form Back

YEAR 1

SECTION 1 CONTINUED

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES & EQUIPMENT \$		_____	_____	_____

SERVICES

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL SERVICES		\$ _____	_____	_____

OTHER

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF OTHER		\$ _____	_____	_____
TOTAL DIRECT PROJECT COSTS		\$ _____	_____	_____

INDIRECT COSTS

Select either item A or B and complete C. (see page 4.6 for an explanation of indirect costs)

Applicant is using:

- A. an indirect cost rate which does not exceed 20% of direct costs (use only if you have no current Federally negotiated rate)
- or
- B. a current approved indirect cost rate negotiated with a Federal agency (copy of current rate agreement must be included in the application)

Name of Federal Agency

From: _____ To: _____
Effective dates of indirect rate as stated on agreement
must be in effect as of October 1, 2003.

C. Rate	Base Amount		
_____ % of \$	_____	= TOTAL INDIRECT COSTS	\$ _____
TOTAL DIRECT COSTS		INDIRECT COSTS REQUESTED FROM IMLS	\$ _____
		INDIRECT COSTS CONTRIBUTED BY APPLICANT	\$ _____
		TOTAL PROJECT COSTS (TOTAL DIRECT & TOTAL INDIRECT PROJECT COSTS)	\$ _____

Project Budget Form Front

YEAR 2 (IF APPLICABLE)

SECTION 1: DETAILED BUDGET

Name of Applicant _____

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$ _____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$ _____	_____	_____

FRINGE BENEFITS

RATE	SALARY BASE	IMLS	MATCH	TOTAL
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
TOTAL FRINGE BENEFITS		\$ _____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HRS) ON PROJECT	IMLS	MATCH	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTATION FEES			\$ _____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	MATCH	TOTAL
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS				\$ _____	_____	_____

Project Budget Form Back

YEAR 2

SECTION 1 CONTINUED

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES & EQUIPMENT		\$ _____	_____	_____

SERVICES

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL SERVICES		\$ _____	_____	_____

OTHER

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	MATCH	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF OTHER		\$ _____	_____	_____
TOTAL DIRECT PROJECT COSTS		\$ _____	_____	_____

INDIRECT COSTS

Select either item A or B and complete C. (see page 4.6 for an explanation of indirect costs)

Applicant is using:

- A. an indirect cost rate which does not exceed 20% of direct costs (use only if you have no current Federally negotiated rate)
- or
- B. a current approved indirect cost rate negotiated with a Federal agency (copy of current rate agreement must be included in the application)

Name of Federal Agency

From: _____ To: _____
Effective dates of indirect rate as stated on agreement must be in effect as of October 1, 2003.

C. Rate	Base Amount		
_____	% of \$ _____	= TOTAL INDIRECT COSTS	\$ _____
	TOTAL DIRECT COSTS	INDIRECT COSTS REQUESTED FROM IMLS	\$ _____
		INDIRECT COSTS CONTRIBUTED BY APPLICANT	\$ _____
		TOTAL PROJECT COSTS (TOTAL DIRECT & TOTAL INDIRECT PROJECT COSTS)	\$ _____

Project Budget Form

SECTION 2: SUMMARY BUDGET

Name of Applicant _____

IMPORTANT! READ INSTRUCTIONS BEFORE PROCEEDING.

DIRECT COSTS

	IMLS	MATCH / COST SHARING	TOTAL
SALARIES AND WAGES			
FRINGE BENEFITS			
CONSULTANT FEES			
TRAVEL			
MATERIALS, SUPPLIES & EQUIPMENT			
SERVICES			
OTHER			
TOTAL DIRECT COSTS	\$	\$	\$
INDIRECT COSTS	\$	\$	\$

TOTAL PROJECT COSTS \$

AMOUNT OF CASH-MATCH	\$
----------------------	----

AMOUNT OF IN-KIND CONTRIBUTIONS	\$
--	-----------

TOTAL AMOUNT OF COST SHARING	\$
-------------------------------------	-----------

AMOUNT REQUESTED FROM IMLS \$ _____
(DIRECT AND INDIRECT COSTS)

Have you received or requested funds for any of these project activities from another Federal agency? (*please check one*) ☐ Yes ☐ No

If yes, name of agency _____ Date _____
Amount requested \$ _____

Specifications for Projects Involving Digitization

1. Describe types of materials to be digitized (i.e., artifacts, maps, manuscripts, photographs, audio recordings, video recordings, motion pictures) and number of each: _____

2. Identify copyright issues and other potential restrictions:

☐ Public domain ☐ Permissions have been obtained

☐ Permissions to be requested - Plan to address: _____

☐ Privacy concerns - Plan to address: _____

☐ Other - Explain: _____

3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g., camera, scanner, server): _____

4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each (minimum resolution, depth, tone, pixels) :

☐ Master _____

☐ Access _____

☐ Thumbnail _____

☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates if applicable _____

5. Describe the quality control plan: _____

6. Estimate cost per image. Include costs such as scanning, quality control and indexing. Indicate the basis for calculation: _____

7. Explain how you will describe the content through metadata, including which standard you will use (e.g., MARC, EAD, Dublin Core): _____

8. Describe plans for preservation and maintenance of the digital files after the expiration of the grant period (i.e., storage systems, migration plans, and funding): _____

9. Describe your plans for preserving the original materials that you will digitize for this project.

10. Provide URL(s) for applicant's previously-digitized collections: _____

This page is a sample format for a schedule of completion. Prepare yours in a similar manner, listing each major project activity discussed in narrative.

	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.
Activity 1												
Activity 2												
Activity 3												
Activity 4												
Activity 5												
Activity 6												
Activity 7												
Activity 8												
Activity 9												
Activity 10												
Activity 11												

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the assurances statement below. Review the Statement and sign the certificate at the end. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The undersigned, on behalf of the applicant, certifies that the applicant has legal authority to apply for Federal assistance and the institution, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

FEDERAL DEBT STATUS

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

DEBARMENT AND SUSPENSION

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- A. are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- B. have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- C. are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

- D. have within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The undersigned, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving Federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in Federally-assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance;
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in Federally-assisted programs;

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- A. The undersigned, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - 1. the dangers of drug abuse in the workplace;
 - 2. the grantee's policy of maintaining a drug-free workplace;
 - 3. any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1. abide by the terms of the statement; and
 - 2. notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a

central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - 1. taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
 - 2. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency;
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- B. The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The undersigned, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

HISTORIC PROPERTIES

The undersigned, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 *et seq.*).

For further information on the certifications, contact IMLS at 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506

CERTIFICATION OF AUTHORIZING TRIBAL OFFICIAL

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application and I hereby certify on behalf of the applicant organization that:

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2003 IMLS Enhancement Grant application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, non-discrimination, drug-free workplace, and lobbying activities, as set forth in the Assurances Statement above.

Should my organization receive a grant, the organization and I will comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45 CFR 1110, 1183, 1185, and 1186), all statutes outlined above, and all other applicable Federal statutes and regulations.

Signature of Authorizing Official

Date

Name and Title of Authorizing Official (Type or Print)

Checklist for Enhancement Grant Application

Before mailing your application, please make certain that you have taken the following steps:

	Please check
Face sheet (Listed the tribe, Alaska village or Alaska corporation as the name of the applicant)	_____
Abstract	_____
Narrative (Includes all evaluation criteria except budget)	_____
Schedule of completion	_____
Project budget	_____
Budget narrative	_____
Detailed budget forms	_____
Summary budget form	_____
Current Federally negotiated rate for indirect costs, if applicable	_____
Specifications for Projects Involving Digitization, if applicable	_____
Assurance form, four pages (Signed by the authorized certifying tribal official)	_____
Attachments (e.g. Resumes – maximum two pages each, letters of support, etc.)	_____
Original and six copies of the complete application form	_____
Two additional copies of the face sheet	_____
3.5 inch disk with face sheet information and abstract	_____

Please include a copy of the completed checklist when you mail the application.

Equal Opportunity Statement

IMLS programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.



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